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PTO/SB/05 (11-00)

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Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 62305 79287

First Inventor Chi Guan

Title Ink-Jet Printing of Gradient-Index Microstructures

Express Mail Label No. EL590378154US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 21]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
5. Oath or Declaration [Total Pages 4]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: Petition to Accept Photographs as.....  
Drawings (37 CFR 1.84(b)).....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No. 60, 182,736

Prior application information

Examiner

Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name Harry J. Watson, Locke Liddell & Sapp LLP

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Registration No. (Attorney/Agent) 29,985

Signature

Harry J. Watson

Date

2/13/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL

## for FY 2000

*Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.*

**TOTAL AMOUNT OF PAYMENT** (\$)**525.00**

### Complete if Known

Application Number	
Filing Date	
First Named Inventor	Chi Guan
Examiner Name	
Group / Art Unit	
Attorney Docket No.	62305 79287

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **12-1781**

Deposit Account Name

☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		
101 690	201 345			Utility filing fee	355.00
106 310	206 155			Design filing fee	
107 480	207 240			Plant filing fee	
108 690	208 345			Reissue filing fee	
114 150	214 75			Provisional filing fee	

**SUBTOTAL (1) (\$)** 355.00

#### 2. EXTRA CLAIM FEES

Total Claims		Extra Claims		Fee from below		Fee Paid	
Independent Claims	20	-20** =	0	x	9	=	0
Multiple Dependent Claims	2	-3** =	0	x	40	=	0

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		
103 18	203 9			Claims in excess of 20	
102 78	202 39			Independent claims in excess of 3	
104 260	204 130			Multiple dependent claim, if not paid	
109 78	209 39			** Reissue independent claims over original patent	
110 18	210 9			** Reissue claims in excess of 20 and over original patent	

**SUBTOTAL (2) (\$)** 0.00

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		
105 130	205 65			Surcharge - late filing fee or oath	0.00
127 50	227 25			Surcharge - late provisional filing fee or cover sheet.	0.00
139 130	139 130			Non-English specification	0.00
147 2,520	147 2,520			For filing a request for reexamination	0.00
112 920*	112 920*			Requesting publication of SIR prior to Examiner action	0.00
113 1,840*	113 1,840*			Requesting publication of SIR after Examiner action	0.00
115 110	215 55			Extension for reply within first month	0.00
116 380	216 190			Extension for reply within second month	0.00
117 870	217 435			Extension for reply within third month	0.00
118 1,360	218 680			Extension for reply within fourth month	0.00
128 1,850	228 925			Extension for reply within fifth month	0.00
119 300	219 150			Notice of Appeal	0.00
120 300	220 150			Filing a brief in support of an appeal	0.00
121 260	221 130			Request for oral hearing	0.00
138 1,510	138 1,510			Petition to institute a public use proceeding	0.00
140 110	240 55			Petition to revive - unavoidable	0.00
141 1,210	241 605			Petition to revive - unintentional	0.00
142 1,210	242 605			Utility issue fee (or reissue)	0.00
143 430	243 215			Design issue fee	0.00
144 580	244 290			Plant issue fee	0.00
122 130	122 130			Petitions to the Commissioner	130.00
123 50	123 50			Petitions related to provisional applications	0.00
126 240	126 240			Submission of Information Disclosure Stmt	0.00
581 40	581 40			Recording each patent assignment per property (times number of properties)	40.00
146 690	246 345			Filing a submission after final rejection (37 CFR § 1.129(a))	0.00
149 690	249 345			For each additional invention to be examined (37 CFR § 1.129(b))	0.00
Other fee (specify)					0.00
Other fee (specify)					0.00

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)** 170.00

### SUBMITTED BY

Name (Print/Type)	Harry J. Watson	Registration No. (Attorney/Agent)	29,985	Complete (if applicable)
Signature	<i>Harry Watson</i>	Telephone	214 740 8713	Date
				2/13/2001

### WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Guan, Chi

For: Ink-Jet Printing of Gradient-Index Microlenses

Assistant Commissioner for Patents  
Washington, D.C. 20231



EXPRESS MAIL CERTIFICATE

"Express Mail" label number EL590378154US

Date of Deposit FEBRUARY 13 2001

I hereby state that the following *attached* papers and fees

Fee Transmittal; Patent Application Transmittal; 21 pages of specification; 7 pages informal drawings; Petition to Accept Photographs as Drawings, 3 Photographs; Declaration of Inventor - Cox; Declaration of Inventor - Guan; Postcard Acknowledgement; check in the amount of \$485.00 to cover the filing fee and petition fee; this Express Mail Certificate of Mailing

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. section 1.10, on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Jean Brown

Signature of person mailing paper or fee

62305 79287

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**PATENT APPLICATION**

Serial Number:

Filing Date:

Applicant: W. Royall Cox; Chi Guan

Title: INK-JET PRINTING OF GRADIENT-INDEX MICROLENSSES

Group Art Unit:

Examiner:

Assistant Commissioner of Patents  
Washington, D. C. 20231

I hereby certify that this correspondence is being deposited  
with the United States Postal Service with sufficient postage  
as first class mail in an envelope addressed to:

Assistant Commissioner of Patents,

Washington, D.C. 20231 on

2/13/01

(Date of Deposit)

*Jan Brown*

Sir:

**PETITION TO ACCEPT PHOTOGRAPHS AS  
DRAWINGS UNDER 37 C.F.R. § 1.84(b)**

Three sets of black and white photographs are submitted as drawings in this patent application. These photographs are marked and identified as Figure 11 as described in the accompanying patent specification.

These photographs are mounted on bristol board. This Petition is accompanied by the fee set forth in 37 C.F.R. § 1.17(h).

Photographs are necessary to fully appreciate the result of the claimed process in this case which is incapable of being accurately or adequately depicted by India ink drawings. The characteristic appearance of a tiny microdrop containing a fluorescing material is illuminated to

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show a diffusion zone. This frozen and adhered microdrop is stated in the specification to be about 300 micrometers in diameter.

Petitioner requests approval for use of these photographs in the above-identified application. A check for the petition fee in the amount of \$130.00 is enclosed. Please use our Deposit Account 12-1871 for any deficiency or to credit any overpayment.

Respectfully submitted,



Harry J. Watson  
Registration No. 29,985

Date: 2/13/2001

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